Patent Attorney's Docket No. <u>033297-005</u>

		IN THE UNITED STATES P	ATENT AND TR	ADEMARK OFFI	CE 2-28		
	In re Patent A	Application of	)		1		
	Lynn D. Cra	wford, et al.	) Group	) Group Art Unit: 3731 ) Examiner: Unassigned			
	Application N	No.: 09/882,823	Examin				
	Filed: June	15, 2001	,	<	11-8		
E TEN	HAV	LOON OCCLUSION DEVICE ING A PROXIMAL VALVE INFORMATION D TRANSM	 		RECEIVED FEB 27 2002 TC 3700 MAIL ROOM		
		nmissioner for Patents D.C. 20231			2008		
•	Enclo	osed is an Information Disclosure led patent application.	e Statement and ac	companying form P	TO-1449 for the		
	[X]	No additional fee for submiss	ion of an IDS is re	equired.			
	[]	enclosed.					
	[ ] A certification under 37 C.F.R. § 1.97(e) is also enclosed.						
	[]	126) as set forth					
	[ ] Charge \$ to Deposit Account No. 02-4800 for the				e due.		
	[]	A check in the amount of \$	is enclo	sed for the fee due.			
	§§ 1.16, 1.17	Commissioner is hereby authorized and 1.21 that may be required unt No. 02-4800. This paper is	by this paper, and	to credit any overpa			
			Respectfully sub	bmitted,			
			BURNS, DOANE	, Swecker & Math	IIS, L.L.P.		
	P.O. Box 140 Alexandria, V (650) 622-230	7irginia 22313-1404		decrystle on No. 46,257			

Date: February 25, 2002

(10/01)

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of	)
Lynn D. Crawford, et al.	) Group Art Unit: 3731
Application No.: 09/882,823	) ) Examiner: Unassigned
Filed: June 15, 2001	)
For BALLOON OCCLUSION DEVICE	)
HAVING A PROXIMAL VALVE	)
Letter SE	,

INFORMATION DISCLOSURE STATEMENT

Assistant Commissioner for Patents Washington, D.C. 20231

Sir:

In accordance with the duty of disclosure as set forth in 37 C.F.R. § 1.56, Applicants hereby submit the following information in conformance with 37 C.F.R. §§ 1.97 and 1.98. Pursuant to 37 C.F.R. § 1.98, a copy of each of the documents cited is enclosed.

## **U.S. PATENTS**

U.S. Patent No. 4,816,020 issued to Brownell on March 28, 1989

U.S. Patent No. 5,167,239 issued to Cohen, et al. on December 1, 1992

## **FOREIGN PUBLICATIONS**

PCT Publication No. WO 99/42161 dated August 26, 1999

The documents are being submitted within 3 months of the filing or entry of the national stage of this application or before the first Office Action on the merits, whichever is later, therefore no fee or statement is required under 37 C.F.R. § 1.97(b).

I, the undersigned, hereby state that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a

Information Disclosure Statement Application No. <u>09/882,823</u> Attorney's Docket No. <u>033297-005</u> Page 2

counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement.

To assist the Examiner, the listed on the attached form PTO-1449. It is respectfully requested that an Examiner initialed copy of this form be returned to the undersigned.

Respectfully submitted,

BURNS, DOANE, SWECKER & MATHIS, L.L.P.

Bv:

Kelly J. McMcrystle Registration No. 46,257

Registration No.

P.O. Box 1404 Alexandria, Virginia 22313-1404 (650) 622-2300

Date: February 25, 2002

Substitute for form 1449A/PTO

## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

ATTORNEY'S DKT NO.	APPLICATION NO.			
033297-006	09/882,823			
APPLICANT				
Lynn D. Crawford, et al.				
FILING DATE	GROUP			
lune 15, 2001	3731			

<u> </u>									
			U.S. PATENT DOC	UMENTS					
TRADE	U.S. Patent D	ocument							
Examiner		Kind Code	Name of Patent			Date of Public	ation		
Initials	Number	(if known)	of Cited Document			(MM-DD-YYYY)			
	4,816,020		Brownell		3/28/89				
	5,167,239		Cohen, et al.			12/1/92			
	ļ					-1			
						3700 PER 2	곢		
						9 5			
						) + 2	[T]	<u>ļ</u> .	
						7 2	_		
						F. F.		<u>;</u>	
						POZ			
						3			
		F	OREIGN PATENT DO	CUMENTS					
-	Foreign Patent	Document							
Examiner		Kind Code				Date of Publication Translation		slation	
Initials	Number	(if known)	Country			(MM-DD-YYYY)	Yes	no_	
	WO 99/42161	· · · · · · · · · · · · · · · · · · ·	PCT			8/26/99	X	ļ	
								ļ	
								<u> </u>	
						<del>-</del> -			
					- 111				
		NON P	ATENT LITERATUR	E DOCUMEN	ITS				
Examiner Initials	Include name of author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.								
	1								
						_			
Examiner Signature				Date Considered					

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. SEND TO: Assistant Commissioner for Patents, Washington, D.C. 20231.